

STATE OF COLORADO
Department of State

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Independent Audit of Certification Procedures and Outcomes

Purpose:

The purpose of this document is to outline the scope, deliverables and timelines of the independent audit of the Colorado Secretary of State's 2007 certification of four voting systems – Hart InterCivic, Diebold Election System, Election Systems and Software and Sequoia Voting Systems.

Background:

The Secretary of State's office consulted with a panel of experts in drafting the requirements for voting system certification, known as Rule 45. Through this process, the expert panel assisted with identifying key issues for voting system security, establishment of a "trusted build" of the voting system software, and methods for verifying compliance with Rule 45.

The Secretary of State has modified the requirements for certification and extensively changed the procedures for independently verifying and documenting the certification process.

As part of the certification process, the Secretary of State will be seeking an external, independent audit of the documentation produced during the certification process by members of the expert panel. This audit will independently verify the performance and accuracy of the Secretary of State's testing board, as well as provide an external perspective that will offer any corrective actions or reevaluation necessary before the Secretary of State decides whether to certify a voting system for use within the State of Colorado.

Documentation Provided to Auditors:

The Secretary of State shall provide all supporting documentation to the independent auditors, which at a minimum will include:

1. The complete documentation generated for each voting system (30 binders), presented in both paper and electronic form;
2. Index of all tests conducted during certification;
3. Electronic copies of template databases and complete (populated) databases used by the testing board;
4. Any and all supplemental documentation provided by the voting system vendors;
5. Copies of all applicable video footage recorded during the certification process;
6. The procedures document used by the Secretary of State for testing;
7. Copies of Secretary of State Election Rule 45, other applicable Secretary of State Elections Rules, and Title 1 of the Colorado Revised Statutes.

Scope:

The scope of the audit will include a complete review of all the documentation collected and generated by the testing board to determine if the documentation supports the recommendation made by the board.

Auditors will review the documentation to determine if the testing board followed proper procedures for:

1. Evaluation of the requirements outlined in Rule 45;
2. Execution of testing requirements;
3. Documenting the functional tests.

The auditors will ultimately determine whether the documentation provided supports the recommended outcome made by the testing board.

Deliverables:

The independent auditors shall deliver to the Secretary of State's office the following minimum deliverables:

1. Summary statement(s) for each system, highlighting any issues or inconsistencies with the testing boards evaluation;
2. Specific statements on any failures of the testing board to comply with its stated objectives;
3. Specific statements on any items that the independent auditors request the testing board to re-examine;
4. Any additional reports or statements the independent auditors feel necessary to produce as a result of their review.

Timelines:

It is anticipated that the timeline to complete an audit on a single voting system will be ten (10) business days from receipt of the documentation. Additional time may be necessary and will be evaluated on a case-by-case basis.